



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Richard SANDOR

Confirmation No.: 4476

Application No: 10/623,134

Group Art Unit: 3629

Filing Date: July 18, 2003

Examiner: *Not yet assigned*

For: EMISSION REDUCTION TRADING  
SYSTEM AND METHOD

Attorney Docket No.: 7634-4000

**THIRD INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Pursuant to Applicants' duty of disclosure under 37 C.F.R. § 1.56, enclosed is a Form PTO-1449 listing twenty-six (26) references for the Examiner's review. Copies of references B1-B3 and C1-C4 are enclosed herewith.

It is respectfully requested that the references be made of record in this application by the Examiner's completion and return of the attached Form PTO-1449.

This Information Disclosure Statement is filed under 37 C.F.R. § 1.97(b)(3), prior to the mailing date of a first Office Action on the merits. Accordingly, no fee is believed to be due. Should any fees be required, however, please charge such fee to Winston & Strawn LLP Deposit Account No. 50-1814.

Respectfully submitted,

1/5/06  
Date

Evert F. Uy (Reg. No. 57,004)  
For: Allan A. Fanucci (Reg. No. 30,256)

**WINSTON & STRAWN**  
**Customer No. 28765**

202-282-5793



<b>LIST OF REFERENCES CITED BY APPLICANT</b> <b>Form PTO-1449</b> <i>(Use several sheets if necessary)</i>			ATTY. DOCKET NO.	APPLICATION NO:
			7634-4000	10/623,134
			APPLICANT:	Richard L. SANDOR
			FILING DATE:	GROUP:
Sheet 1 of 2			July 18, 2003	3629

### USE PATENT DOCUMENTS

*EXAMINER INITIAL	CITE NO.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A1	4,677,552	06/1987	Sibley, Jr.	364	408	
	A2	5,532,928	07/1996	Stanczyk et al.	364	406	
	A3	5,621,654	04/1997	Cohen et al.	364	493	
	A4	5,664,112	09/1997	Sturgeon et al.	705	28	
	A5	5,726,884	03/1998	Sturgeon et al.	395	209	
	A6	5,794,212	08/1998	Mistr, Jr.	705	26	
	A7	6,067,549	05/2000	Smalley et al.	707	104	
	A8	6,115,698	09/2000	Tuck et al.	705	37	
	A9	6,256,640	07/2001	Smalley et al.	707	104	
	A10	6,560,580	05/2003	Fraser et al.	705	37	
	A11	2001/0032168	10/2001	Adamson et al.	705	37	01/2001
	A12	2001/0049651	12/2001	Selleck	705	37	04/2001
	A13	2002/0143693	10/2002	Soestbergen et al.	705	37	11/2001
	A14	2003/0055665	03/2003	Fleming	705	1	04/2002
	A15	2003/0085179	05/2003	Kim et al.	210	739	11/2001
	A16	2003/0229572	12/2003	Raines et al.	705	37	11/2002
	A17	2004/0015454	01/2004	Raines et al.	705	412	11/2002
	A18	2004/0039684	02/2004	Sandor	705	37	07//2003
	A19	2005/0246190	11/2005	Sandor et al.	705	1	01//2005

### FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	B1	WO 02/37776	05/2002	PCT				
	B2	WO 02/077776	10/2002	PCT				
	B3	WO 04/010366	01/2004	PCT				

EXAMINER	DATE CONSIDERED
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



<b>LIST OF REFERENCES CITED BY APPLICANT</b> <b>Form PTO-1449</b> <i>(Use several sheets if necessary)</i>		ATTY. DOCKET NO.: 7634-4000	APPLICATION NO.: 10/623,134
		APPLICANT: Richard L. SANDOR	
Sheet 2 of 2		FILING DATE: July 18, 2003	GROUP: 3629
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
	C1	Sandor, R., "Trading Gases," Our Planet Magazine, The United Nations Environment Programme Magazine for Environmentally Sustainable Development, Volume 9, Number 6, 1998.	
	C2	Sandor, R., "Corporate Giants To Aid Design of U.S. Carbon Market," Environmental Finance Magazine, June 2001.	
	C3	Solomon, B., "Emissions Trade Systems and Environmental Justice," Environment; Washington, 42:8, October 2000, pp. 32-45.	
	C4	"Designing Options for Implementing an Emissions Trading Regime for Greenhouse Gases in The European Community," Final Report, February 22, 2000.	
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>	
<small>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</small>			